1. PI REVIEW AND APPROVAL

This procedure contains the entire process for the PI's review and approval of an application including an electronic signature.

A. Review the Proposal	1. Receive notice from Proposal Team, or
	2. Find proposal in Home Page Inbox
	3. INFORMATION ONLY: Overview of the Proposal Workspace
	4. Review PIF
	5. OPTIONAL: Update SF424
	6. OPTIONAL: Generate PDF of SF424
	7. Review the Generated PDF
	8. OPTIONAL: Request Changes from Proposal Team
	9. OPTIONAL: Log General Comment
	10. OPTIONAL: Email Proposal Team
B. Approve the Proposal	1. Issue PI Approval (this step cannot be undone)

PI Review and Approval – General Information

- Although the PI can log in directly to eSRA through http:GoApp/OSPIP; it is easier to link to the specific proposal from the email notification received in your Lab email.

- A proposal may be reviewed and sent to the Division and to OSPIP for review without final science. **The application must be complete, but the science uploads can be drafts.** If you have questions about this, please contact your OSPIP Contracts Officer.

- The numbers in the written instructions will point you to the location on the related screen-print in the instructions.

This procedure contains the specific steps in the review and submission process.

The sequence for the basic review and approval is important.

The front page can be used for reference. The follow pages include step-by-step instructions with screen-shot visuals.

Please note these symbols throughout the instructions to help educate you on the process.

Caution Warning	Serious Warning	Notes	Tips	Important

A. Review the Proposal

1.	Receive notice for PI Review in your Lab email.

1a. Click on this link to go directly to the proposal in eSRA.
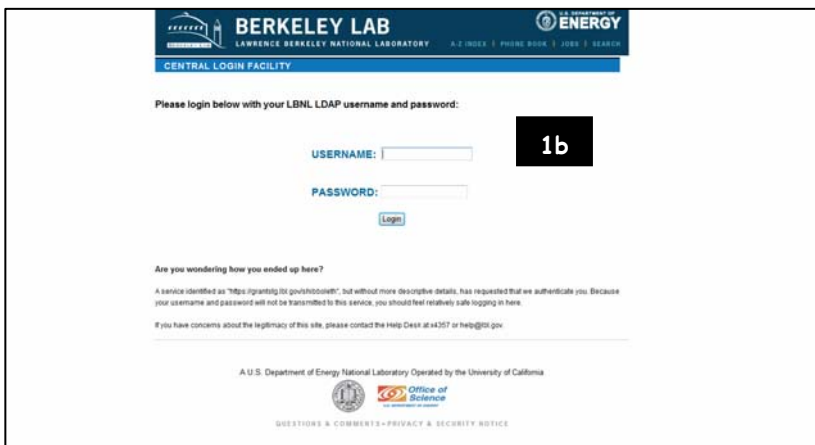
1

1a

If you are working offsite, this link might not work because you are outside of the LBNL Firewall. You will need to use VPN to access the eSRA System. Contact IT Support is you need assistance setting up VPN on your laptop, home computer, or smart phone.

1b. Use your LDAP login to access eSRA.

Note: If you are already logged into the eSRA system, this step will be skipped and you will go directly to the proposal.

1b

If you have problems linking directly to the proposal, contact eSRAHelp@lbl.gov

Alternatively, you can access the proposal by logging into the eSRA system directly at GoApp/OSPIP

2.	Find the proposal in the Home Page Inbox.

Note: The proposal will automatically appear in your eSRA Home Inbox also. You are not required to link to it from your Lab email.

Note: In your home page, your roles will be listed on the left. Everyone has the role of "Registered User" which allows access to the system, but not to any specific proposals. You should have the role of PI. If you have other roles available, they will also be listed.

2a. Highlight your PI role to see the inbox of proposals for your role as PI.

2b. Select the proposal you want to review.

Note: Only proposals where you have required or optional actions will be in your inbox. Other proposals will be in the other tabs on your home page.

3.	Overview of the proposal workspace. The proposal workspace is like the home page for the proposal.

3a.   Nickname (title) of the proposal

3b.   Proposal number

3c.   Current state of the proposal – this will determine what activities are available and who can perform actions. When the proposal is in the "PI Approval" state the Proposal Team, including the PI, cannot update or make changes to the proposal.

This page of the instructions is for information only.

3d.   These are proposal components available for the user to do with the proposal: edit or print.

3e.   Tabs contain specfic information. Information relevant to the review and approval process will be explained later in these instructions.

3f.   Summary information box contains: proposal information, budget totals, and SF424 information.

3a

Proposal Nickname

3e

3b FP00000237   Resubmission

3c CURRENT STATE

PI Approval

Proposal Information   PIF   Approvals   Comments   Attachments   Contacts   Submission To Sponsor

3d Edit Funding Proposal

Printer Version

3g

My Activities

Copy Funding Proposal

Update SF424

Validate Proposal and SF424

Generate SF424 PDF   Division

Log General Comment

OCO Comments

Email Team

Discontinue

UPLOAD DOCUMENTS

(Funding Proposal - Proposed)

PROPOSAL INFORMATION **3f**		BUDGET TOTALS		SF424 INFORMATION	
Primary	National Institutes of Health	Starting Date:	4/1/2011	SF424 Tracking#:	
PI:	LBNL PI	Number of Periods:	4	SF424 Received Date/Time:	
OCO:	LBNL OCO	Total Direct:	$915,000	SF424 Status Updated:	
RA:	There are no items to display	Total Indirect:	$452,500	SF424 Current State:	Pre-Submission
Status of Science:	Draft	Total LBNL Costs:	$1,367,500	PDF Version	View
Submission Deadline:	10/5/2012	FAC Costs:	$41,025		
NIH Application #:		Total Project Costs:	$0		
		Sponsor Costs:	$0		
		Awarded Total:	$0.00		

3h

History			
	Activity	Author	Activity Date
	Submitted to PI	Sylvester , Cynthia L	10/31/2011 1:55 PM PDT
	Please review proposal and submit for Division Review		
	Generated PDF Version	Sylvester , Cynthia L	10/31/2011 1:54 PM PDT
	Latest PDF version is available on workspace summary		
	SF424 Updated	Gale, Phyllis M. Housel	4/19/2011 7:25 AM PDT

3g.   Activities are actions available while proposal is in this state.

3h.   History of activities previously taken for this proposal are shown.
Comments entered and attachments to notifications are also displayed in this history section.

4.	Review Proposal Information Form (PIF)

4

Proposal Information **PIF** Approvals Comments Attachments Contacts Submission To Sponsor

Lawrence Berkeley National Laboratories
Proposal Information Form

Every grant or contract proposal must be submitted through the Office of Sponsored Projects and Industry Partnerships (OSPIP) being sent to the proposed sponsor. The Proposal Information Form (PIF) accompanies the proposal to record by the Principal In Research Division indicating approval of the proposed project. The PIF is a summary of information about the project that is used approval and data management. The PIF information is not submitted to the proposed sponsor.

I. General Proposal Information

Proposal Number:	FP00000287
Deadline:	10/5/2012
Deadline Type:	Receipt
Proposal Submission Process:	Electronic via grants.gov
Direct Sponsor:	National Institutes of Health
Principal Investigator:	Priscilla K Cooper
Department:	Cancer & DN
Division:	Life Sciences

Example

LBNL Staff Participating in the Research

Multiple PI(s)/Mentor:

Name	Role	Positive Disclosure
There are no items to display		

Sr/Key Personnel:

Name	Role	Positive Disclosure
There are no items to display		

Other Significant Contributors:

Name	Role	Positive Disclosure
There are no items to display		

Other Research Contributors:

Name	Role	Positive Disclosure
There are no items to display		

NIH FCOI disclosures have been sent to the RIIO

Project Purpose:	Fellowship/Early Career Development
Proposal Type:	New
Proposal Title:	Testing by Cynthia for Division Review Instructions
Period of Performance:	4/1/2012 to 3/31/2014
Sponsor's Total Budget:	$300,009.00

Note: The Proposal Information Form (PIF) contains a summary of the information contained in the eSRA proposal including answers to all of the internal LBNL review questions.

Use <CTL> P to print the PIF, if needed.

PIF continued….

II. LBNL Budget

Summary Budget Information (by Contract Year)

Period	Start Date	End Date	Type of Costs	Costs
1	4/1/2012	3/31/2013	Direct Costs	$100,000
			LDRD	$0
			Other NIH Indirect Costs	$50,005
			Total LBNL Costs	**$150,005**
			Federal Administrative Costs*	**$4,500**
			Total Project Costs	**$154,505**
2	4/1/2013	3/31/2014	Direct Costs	$100,000
			LDRD	$0
			Other NIH Indirect Costs	$50,004
			Total LBNL Costs	**$150,004**
			Federal Administrative Costs*	**$4,500**
			Total Project Costs	**$154,504**
Cumulative	4/1/2012	3/31/2014	Direct Costs	$200,000
			LDRD	$0
			Other NIH Indirect Costs	$100,009
			Total LBNL Costs	**$300,009**
			Federal Administrative Costs*	**$9,000**
			Total Project Costs	**$309,009**

Will the Waiver of FAC be Requested? ◉ Yes ○ No

What is the Waiver Type: NIH

Example

III. Brief Statement of Work (Abstract):

DOE Abstract Goes Here

Is this proposal in response to a Funding Opportunity, BAA, or other type Solicitation? Yes

Funding Opportunity Name and Number: G.g AT07 and NIH Ext-UAT Test FOA (R01)FOA00000100

Funding Opportunity URL: Information URL for FOA00000100

IV. Review Information

Human and Animal Subjects

Are Human Subjects involved in this project? ○ Yes ◉ No

Description of the type of Human Subjects use that will occur in the proposed research in order for the DOE

Is this Human Use Exempt: ○ Yes ○ No

Exemption Number if yes:

Is there Vertebrate Animal use in this project? ○ Yes ◉ No

Description of the type of Vertebrate Animal Use that will occur in the proposed research in order for the DO

Background Intellectual Property

Is there Background Intellectual Property? ○ Yes ◉ No

Explained and identified, if yes.

Is Proprietary/privileged information included in the application? ○ Yes ◉ No

PIF continued…..

Conflicts of Interest

Did the PI have organizational Conflict of Interest in the construction of the Funding Opportunity, BAA, RFP, Solicitation, etc? ○Yes ○No

DOE Review Information
Uniqueness Statement
Proposed work required LBNL's special expertise, unique capab̶i̶l̶i̶t̶ ties are inadequate for proposed work:
Uniqueness Statement goes here.
The proposed project is consistent with or complimentary to the
Biological Sciences

Will the proposed work adversely impact the execution of LBNL's assigned DOE program? ○Yes ◉No
Will the proposed work create a detrimental future burden on DOE resources? ○Yes ◉No

Does the project involve building modifications and/or construction anticipated to cost in excess of $10,000,000? ○Yes ◉No

Estimated cost of modifications/constructions, if yes:

Does the proposal relate to Vehicle Technologies? ○Yes ◉No

LBNL Homeland Security Program

Is this activity related in any manner to weapons of mass destruction, including but not limited to chemical, biological or nuclear weapons research or production? ○Yes ◉No

Is this activity related in any manner to threat analysis or detection or to technologies to analyze and mitigate threats? (e.g. Nuclear/Radiological, Biological, Chemical, unexploded ordinance (UXO), mines and mine detection). ○Yes ◉No

Is this activity related in any manner to homeland security, counter-terrorism, or intelligence related work? ○Yes ◉No

Is this activity related in any manner to proliferation detection? ○Yes ◉No

5.	Choose "Update SF424" to ensure all data and updates made by the proposal team have been populated into the SF424.

This step is optional. You can skip this step if your proposal team has just generated an SF424 PDF for you to review.

5a. Click "OK" to start the update, then wait until the process returns you to the Proposal Workspace.

| 6. | Generate PDF of SF424 to view document in the format the sponsor will see the application. |

This step is optional. You can skip this step if your proposal team has just generated an SF424 PDF for you to review.

CURRENT STATE

PI Approval

Edit Funding Proposal

Printer Version

My Activities

! Administration

📄 Copy Funding Proposal

⌚ Update SF424

🔍 Validate Proposal and SF424

🖨 Print Smartform Design

Request Changes from Proposal Team

☞ Approve for Division Review

6 📄 Generate SF424 PDF

📝 OCO Comments

📝 Log General Comment

📝 Email Team

🔄 Discontinue

6a. Check "Include Attachments" if you want all of the uploaded documents to be merged into one PDF.

Leave unchecked if you only want to review the SF424 form Pages.

https://grantstg.lbl.gov/grantstg/ResourceAdministration/Activity/form?ActivityType=com.webrid...

Generate SF424 PDF

Click the OK button to generate a PDF version of your application.
The link to the most recently generated PDF version is displayed on the project workspace, labeled "PDF Version".

Include Attachments: ☑ **6a**
(Note: PDF generation will take longer to complete...)

OK Cancel **6b**

6b. Click "OK" to generate the PDF.

6c. The Generated PDF Version will show in the History Tab of the main proposal workspace and indicate who generated it along with the date and time.

History **6c**

	Activity	Author	☑ Activity Date
📄	Generated PDF Version	PI	10/11/2011 3:48 PM PDT
📝	Latest PDF version is available on workspace summary		
⌚	SF424 Updated	PI	10/11/2011 3:48 PM PDT
☞	Approved for Division Review	PI or RA	10/11/2011 3:41 PM PDT
☞	Submitted to PI		10/11/2011 3:41 PM PDT
📝	Please review and approve the proposal for submission. Th...mplete, but the science can be in DRAFT status.		
📄	Generated PDF Version		10/11/2011 3:39 PM PDT
📝	Latest PDF version is available on workspace summary		
⌚	SF424 Updated		10/11/2011 3:39 PM PDT

7.	Review the Generated PDF from the History Log

7a.   Click on the highlighted "Generated PDF Version" in the history section to access the document.

7b.   Select "Documents/Tasks/Notifications"

Ignore these instructions. They are incorrect and we are working with the programmers to have them removed.

Activity Details (Generated PDF Version)

Author:	Cynthia Sylvester (Sponsored Projects)
Logged For (Funding Proposal):	Example for OCO

Activity Form	Property Changes	**Documents / Tasks / Notifications**

Documents:
grantsApplication.pdf   **7b**
grantsApplication.pdf

Project Task Assignments:

Name	Priority User	Activity

E-mail Notifications:

7c. Select one of the PDF files to review. (They are the same.)

Use <CTL> P to print the PIF, if needed.

8.	OPTIONAL: Request changes from Proposal Team – PI may send the proposal back to the Proposal Team requesting changes without approving the proposal for division review. This will send an email notification to the Proposal Team (PI and RA(s)) and save the message, with comments and attachments, in the history section of the proposal workspace.

This step is optional. If changes are not required, this step can be skipped.

This step can be repeated as many times as needed.

In the case of submitting a proposal for review with Draft Science (and you don't need changes before submitting it to the division), do not send the proposal back to the Proposal Team; submit it for approval and note in the comments box that the science is still "Draft"

Another option is to "Email the Proposal Team" without sending it back for changes. See step 10 for those instructions.

CURRENT STATE
PI Approval

- Edit Funding Proposal
- Printer Version

My Activities
- ! Administration
- Copy Funding Proposal
- Update SF424
- Validate Proposal and SF424
- Print Smartform Design
- Request Changes from Proposal Team
- Approve for Division Review
- Generate SF424 PDF
- OCO Comments
- Log General Comment
- Email Team
- Discontinue

8

8a. Comments can be entered in the box.

8b. Documents can be added when requesting changes.

8c. Click "OK" to submit the request.

Request Changes from Proposal Team

Comments:

8a

Attachments:
Add
Document   Description
There are no items to display

8b

8c OK Cancel

Note: Changes will come directly back to the PI.

When the proposal is in "PI Review: Requesting Changes" state, the proposal will show in the inbox of the PI because s/he is part of the Proposal Team.

Requests for changes and Submission of Changes will be recorded in the History Log.

History	
Activity	**Author**
Submitted Changes	RA
corrected	
Requested Changes from Proposal Team	PI
Please check the spelling on the Person Profile page	
Submitted to PI	PI or RA

9. | OPTIONAL: Log General Comment – This will enter the comment in the History Log, but no one will be notified.

This step is optional. You can skip this step if you don't have comments you want to log for the proposal.

This step can be repeated as many times as needed and is available to anyone with access to the proposal.

CURRENT STATE

PI Approval

- Edit Funding Proposal
- Printer Version

My Activities

- ! Administration
- Copy Funding Proposal
- Update SF424
- Validate Proposal and SF424
- Print Smartform Design
- Request Changes from Proposal Team
- Approve for Division Review
- Generate SF424 PDF

9

- Log General Comment
- Email Team
- Discontinue

9a. Comments should be entered in the box.

9b. Click "OK" to submit.

Log General Comment

Comments:

General comments can be entered here that will appear in the history log

9a

9b

OK | Cancel

| 10. | OPTIONAL: Email Proposal Team – This will send an email notification to specific people on the Proposal Team and save the message, with comments and attachments, in the history section of the proposal workspace. |

10a. Click "Add" to select the people on the Proposal Team to notify.

10b. Use check boxes to select the specific people to send the message to.

We strongly recommend using the "Email Team" activity in eSRA rather than just your Lab email account because the text of the email will be saved with the proposal for historical reference.

10c.   Once selected, the names will appear in the "Email Team" Window

10d.   Comments or change can be entered in the box.

10e.   Documents can be added when requesting changes.

10f.   Click "OK" to submit the request.

10g.   The email will be noted in the History Log.

CURRENT STATE

PI Approval

Edit Funding Proposal

Printer Version

My Activities

Administration

Copy Funding Proposal

Update SF424

Validate Proposal and SF424

Print Smartform Design

Request Changes from Proposal Team

Approve for Division Review

Generate SF424 PDF

OCO Comments

Log General Comment

Email Team

Discontinue

Email Team

Notify Team:
[   ] Add

Person
Priscilla K Cooper   **10c**   Remove
David A Garcia   Remove

Comments to be placed in the notification:

10d

Attachments:
Add   **10e**
Document   Description
There are no items to display

10f   OK | Cancel

History

Activity	**10g**	Author
Team Emailed		PI
Comments in email to Proposal Team entered here. Attached is the budget justification. Please swap with the one in the proposal b		
BudgetJustification.pdf		
Submitted Changes		PI or RA
Requested Changes from Proposal Team		PI

B. Approve the Proposal for Division Review

Important: The proposal can be submitted to the Division and OSPIP with Draft Science; but the remainder of the proposal should be complete and final.

1	Approve for Division Review - The PI provides electronic approval for the proposal and submits it for Division Review.

1a.   The LBNL and Sponsor Assurances screen will pop up. **Read and check the "I Agree" box for each set of assurances**. If you cannot agree to one or more of the assurances, contact your OSPIP Contracts Officer to discuss. The proposal cannot be submitted without the PI's approval of the proposal and the required assurances.

1b.   Comments can be added in the box.

1c.   Click "OK" to approve.

1e.   The State will change to "Division Proposal Review"

1f.   The approval is recorded in the History Log and the OSPIP
       CO identified in the proposal will be notified in their Lab
       Email. The proposal will now show in their inbox.

Activity	Author
Approved for Division Review	PI
Submitted to PI	PI or RA
Submitting to PI	
SF424 Updated	PI or RA